

FORM PTO-1390 (REV. 10-2003)		U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE		ATTORNEY'S DOCKET NUMBER <b>LUM-PHNL020135</b>	
<b>TRANSMITTAL LETTER TO THE UNITED STATES DESIGNATED/ELECTED OFFICE (DO/EO/US) CONCERNING A FILING UNDER 35 U.S.C. 371</b>				U.S. APPLICATION NO. (If known, see 37 CFR 1.5)	
				<b>10/505,247</b>	
INTERNATIONAL APPLICATION NO. <b>PCT/IB03/00582</b>		INTERNATIONAL FILING DATE <b>14 February 2003</b>		PRIORITY DATE CLAIMED <b>22 February 2002</b>	
TITLE OF INVENTION <b>COMPACT LIGHTING SYSTEM AND DISPLAY DEVICE</b>					
APPLICANT(S) FOR DO/EO/US <b>Matthijs Hendrik Keuper</b>					
Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:					
<ol style="list-style-type: none"> <li>1. <input type="checkbox"/> This is a <b>FIRST</b> submission of items concerning a filing under 35 U.S.C. 371.</li> <li>2. <input checked="" type="checkbox"/> This is a <b>SECOND</b> or <b>SUBSEQUENT</b> submission of items concerning a filing under 35 U.S.C. 371.</li> <li>3. <input type="checkbox"/> This is an express request to begin national examination procedures (35 U.S.C. 371(f)). The submission must include items (5), (6), (9) and (21) indicated below.</li> <li>4. <input type="checkbox"/> The US has been elected (Article 31).</li> <li>5. <input type="checkbox"/> A copy of the International Application as filed (35 U.S.C. 371(c)(2)) <ol style="list-style-type: none"> <li>a. <input type="checkbox"/> is attached hereto (required only if not communicated by the International Bureau).</li> <li>b. <input type="checkbox"/> has been communicated by the International Bureau.</li> <li>c. <input type="checkbox"/> is not required, as the application was filed in the United States Receiving Office (RO/US).</li> </ol> </li> <li>6. <input type="checkbox"/> An English language translation of the International Application as filed (35 U.S.C. 371(c)(2)). <ol style="list-style-type: none"> <li>a. <input type="checkbox"/> is attached hereto.</li> <li>b. <input type="checkbox"/> has been previously submitted under 35 U.S.C. 154(d)(4).</li> </ol> </li> <li>7. <input type="checkbox"/> Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371(c)(3)) <ol style="list-style-type: none"> <li>a. <input type="checkbox"/> are attached hereto (required only if not communicated by the International Bureau).</li> <li>b. <input type="checkbox"/> have been communicated by the International Bureau.</li> <li>c. <input type="checkbox"/> have not been made; however, the time limit for making such amendments has NOT expired.</li> <li>d. <input type="checkbox"/> have not been made and will not be made.</li> </ol> </li> <li>8. <input type="checkbox"/> An English language translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371 (c)(3)).</li> <li>9. <input checked="" type="checkbox"/> An oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4)).</li> <li>10. <input type="checkbox"/> An English language translation of the annexes of the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371(c)(5)).</li> </ol>					
<b>Items 11 to 20 below concern document(s) or information included:</b> <ol style="list-style-type: none"> <li>11. <input type="checkbox"/> An Information Disclosure Statement under 37 CFR 1.97 and 1.98.</li> <li>12. <input type="checkbox"/> An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.</li> <li>13. <input type="checkbox"/> A preliminary amendment.</li> <li>14. <input type="checkbox"/> An Application Data Sheet under 37 CFR 1.76.</li> <li>15. <input type="checkbox"/> A substitute specification.</li> <li>16. <input type="checkbox"/> A power of attorney and/or change of address letter.</li> <li>17. <input type="checkbox"/> A computer-readable form of the sequence listing in accordance with PCT Rule 13ter.2 and 37 CFR 1.821 - 1.825.</li> <li>18. <input type="checkbox"/> A second copy of the published international application under 35 U.S.C. 154(d)(4).</li> <li>19. <input type="checkbox"/> A second copy of the English language translation of the international application under 35 U.S.C. 154(d)(4).</li> <li>20. <input checked="" type="checkbox"/> Other items or information: A Power of Attorney and Correspondence Addresss Indication Form; Response to Notification of Missing requirements Under 35 U.S.C. 371; and Copy of Notification of Missing Requirements Under 35 U.S.C. 371.</li> </ol>					

U.S. APPLICATION NO. (if known, see 37 CFR 1.5)

10/505,247

INTERNATIONAL APPLICATION NO.

PCT/IB03/00582

ATTORNEY'S DOCKET NUMBER

LUM-PHNL020135

21. ☐ The following fees are submitted:**BASIC NATIONAL FEE (37 CFR 1.492 (a) (1) - (5)):**

Neither international preliminary examination fee (37 CFR 1.482)  
nor international search fee (37 CFR 1.445(a)(2)) paid to USPTO  
and International Search Report not prepared by the EPO or JPO. .... **\$1080.00**

International preliminary examination fee (37 CFR 1.482) not paid to  
USPTO but International Search Report prepared by the EPO or JPO ..... **\$920.00**

International preliminary examination fee (37 CFR 1.482) not paid to USPTO  
but international search fee (37 CFR 1.445(a)(2)) paid to USPTO ..... **\$770.00**

International preliminary examination fee (37 CFR 1.482) paid to USPTO  
but all claims did not satisfy provisions of PCT Article 33(1)-(4) ..... **\$730.00**

International preliminary examination fee (37 CFR 1.482) paid to USPTO  
and all claims satisfied provisions of PCT Article 33(1)-(4) ..... **\$100.00**

**ENTER APPROPRIATE BASIC FEE AMOUNT =****CALCULATIONS PTO USE ONLY**

\$ 0.00

Surcharge of **\$130.00** for furnishing the oath or declaration later than 30 months  
from the earliest claimed priority date (37 CFR 1.492(e)).

\$ 0.00

**CLAIMS****NUMBER FILED****NUMBER EXTRA****RATE**

\$

Total claims

19 - 20 =

0

x **\$18.00**

\$ 0.00

Independent claims

2 - 3 =

0

x **\$86.00**

\$ 0.00

MULTIPLE DEPENDENT CLAIM(S) (if applicable)

+ **\$290.00**

\$

**TOTAL OF ABOVE CALCULATIONS =**

\$ 0.00

☐ Applicant claims small entity status. See 37 CFR 1.27. The fees indicated above  
are reduced by 1/2.

\$

**SUBTOTAL =**

\$ 0.00

Processing fee of **\$130.00** for furnishing the English translation later than 30 months  
from the earliest claimed priority date (37 CFR 1.492(f)).

\$

**TOTAL NATIONAL FEE =**

\$ 0.00

Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be  
accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). **\$40.00** per property +

\$

**TOTAL FEES ENCLOSED =**

\$ 0.00

**Amount to be  
refunded:**

\$

**charged:**

\$

- a. ☐ A check in the amount of \$ \_\_\_\_\_ to cover the above fees is enclosed.
- b. ☐ Please charge my Deposit Account No. 502226 in the amount of \$ \_\_\_\_\_ to cover the above fees.  
A duplicate copy of this sheet is enclosed.
- c. ☒ The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any  
overpayment to Deposit Account No. 502226. A duplicate copy of this sheet is enclosed.
- d. ☐ Fees are to be charged to a credit card. **WARNING:** Information on this form may become public. **Credit card  
information should not be included on this form.** Provide credit card information and authorization on PTO-2038.

**NOTE:** Where an appropriate time limit under 37 CFR 1.495 has not been met, a petition to revive (37 CFR 1.137 (a)  
or (b)) must be filed and granted to restore the application to pending status.

SEND ALL CORRESPONDENCE TO:

Rachel V. Leiterman  
Patent Law Group LLP  
2635 North First St., Suite 223  
San Jose, CA 95134

  
SIGNATURE

Rachel V. Leiterman  
NAME

46,868  
REGISTRATION NUMBER

Express Mail No. EV 458861194 US

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

Applicant(s):       Matthijs Hendrik Keuper  
Assignee:            Lumileds Lighting U.S., LLC  
Title:                COMPACT LIGHTING SYSTEM AND DISPLAY DEVICE  
Serial No.:           10/505,247                               Filing Date:       August 20, 2004  
Examiner:            Not yet assigned                       Group Art Unit:   Not yet assigned  
Docket No.:          LUM-PHNL020135

San Jose, California  
March 3, 2005

Mail Stop PCT  
Commissioner for Patents  
P. O. Box 1450  
Alexandria, VA 22313-1450

**RESPONSE TO NOTIFICATION OF MISSING REQUIREMENTS UNDER 35**  
**U.S.C. 371 IN THE UNITED STATES DESIGNATED/ELECTED OFFICE**  
**(DO/EO/US)**

Dear Sir:

In response to the "Notification of Missing Requirements Under 35 U.S.C. 371 in the United States Designated/Elected Office (DO/EO/US)" mailed by the United States Patent and Trademark Office on January 24, 2005, the following documents are enclosed to complete the filing of the above-identified patent application:

1.     A declaration signed by the inventor in compliance with  
       37 CFR 1.497(a) and (b);
2.     A Power of Attorney and Correspondence Address Indication Form;
3.     A copy of the Notification of Missing Requirements Under 35 U.S.C. 371  
       in the United States Designate/Elected Office (DO/EO/US).

Applicant believes that no fee is due at this time. The surcharge of \$130.00 was paid at the time the application was filed.

Patent Law Group  
LLP  
2635 North First St.  
Suite 223  
San Jose, CA 95134  
(408) 382-0480  
FAX (408) 382-0481

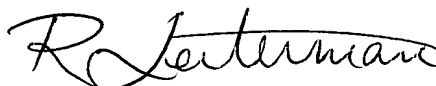
The Commissioner is hereby authorized to charge any additional fees, which may be required, or credit any overpayments to Deposit Account No. 502226.

It is hereby respectfully submitted that the enclosed documents complete the filing of the above patent application and justify the filing date of August 20, 2004. Please telephone the undersigned at (408) 382-0480 extension 204, if there are any questions.

EXPRESS MAIL LABEL NO:

EV 458861194 US

Respectfully submitted,



Rachel V. Leiterman  
Attorney for Applicant(s)  
Reg. No. 46,868

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## UNITED STATES PATENT AND TRADEMARK OFFICE

UNITED STATES DEPARTMENT OF COMMERCE  
 United States Patent and Trademark Office  
 Address: COMMISSIONER FOR PATENTS  
 P.O. Box 1450  
 Alexandria, Virginia 22313-1450  
 www.uspto.gov

U.S. APPLICATION NUMBER NO.	FIRST NAMED APPLICANT	ATTY. DOCKET NO.
10/505,247	Matthijs Hendrik Keuper	LUM-PHNL020135

INTERNATIONAL APPLICATION NO.
PCT/IB03/00582

IA. FILING DATE	PRIORITY DATE
02/14/2003	02/22/2002

Rachel V. Leiterman  
 Patent Law Group  
 2635 North First St., Suite 223  
 San Jose, CA 95134

**CONFIRMATION NO. 7423**  
**371 FORMALITIES LETTER**



\*OC000000015010493\*

Date Mailed: 01/24/2005

### NOTIFICATION OF MISSING REQUIREMENTS UNDER 35 U.S.C. 371 IN THE UNITED STATES DESIGNATED/ELECTED OFFICE (DO/EO/US)

The following items have been submitted by the applicant or the IB to the United States Patent and Trademark Office as a Designated / Elected Office (37 CFR 1.495).

- Copy of the International Application filed on 08/20/2004
- Copy of the International Search Report filed on 08/20/2004
- Preliminary Amendments filed on 08/20/2004
- Information Disclosure Statements filed on 08/20/2004
- Oath or Declaration filed on 08/20/2004
- U.S. Basic National Fees filed on 08/20/2004
- Priority Documents filed on 08/20/2004

The following items **MUST** be furnished within the period set forth below in order to complete the requirements for acceptance under 35 U.S.C. 371:

- Oath or declaration of the inventors, in compliance with 37 CFR 1.497(a) and (b), identifying the application by the International application number and international filing date. The current oath or declaration does not comply with 37 CFR 1.497(a) and (b) in that it:
  - is not executed in accordance with either 37 CFR 1.66 or 37 CFR 1.68.

**ALL OF THE ITEMS SET FORTH ABOVE MUST BE SUBMITTED WITHIN TWO (2) MONTHS FROM THE DATE OF THIS NOTICE OR BY 32 MONTHS FROM THE PRIORITY DATE FOR THE APPLICATION, WHICHEVER IS LATER. FAILURE TO PROPERLY RESPOND WILL RESULT IN ABANDONMENT.**

The time period set above may be extended by filing a petition and fee for extension of time under the provisions of 37 CFR 1.136(a).

Applicant is reminded that any communications to the United States Patent and Trademark Office must be mailed to the address given in the heading and include the U.S. application no. shown above (37 CFR 1.5)

A copy of this notice **MUST** be returned with the response.

KAREN M WILLIAMS

Telephone: (703) 305-3688

PART 1 - ATTORNEY/APPLICANT COPY

U.S. APPLICATION NUMBER NO.	INTERNATIONAL APPLICATION NO.	ATTY. DOCKET NO.
10/505,247	PCT/IB03/00582	LUM-PHNL020135

FORM PCT/DO/EO/905 (371 Formalities Notice)